

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Tomokazu MORITA, et al.

SERIAL NO: NEW APPLICATION

GAU:

FILED: HEREWITH

EXAMINER:

FOR: NEGATIVE ELECTRODE ACTIVE MATERIAL FOR NONAQUEOUS ELECTROLYTE SECONDARY BATTERY AND NONAQUEOUS ELECTROLYTE SECONDARY BATTERY

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



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**CERTIFICATION**

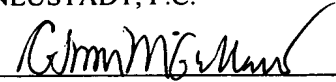
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**LIST OF RELATED CASES**

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Inventor/ Applicant</u>
195604US0 SRD	6,495,291	12/17/02	KOHNO et al.

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IN RE APPLICATION OF: Tomokazu MORITA, et al.

SERIAL NO.: New Application

FILED: Herewith

FOR: NEGATIVE ELECTRODE ACTIVE MATERIAL FOR NONAQUEOUS  
ELECTROLYTE SECONDARY BATTERY AND NONAQUEOUS  
ELECTROLYTE SECONDARY BATTERY

**STATEMENT OF RELEVANCY**

**Reference AA (6,383,686) on Form PTO-1449:**

This patent discloses an anode material for lithium secondary battery, comprising a particulate core composed of a metal or semimetal capable of forming a lithium alloy and a carbon layer covering the surface of the particulate core. Silicon is used as a particulate core.

**Reference AO (2000-215887) on Form PTO-1449:**

This publication is referred to in the specification. See page 3, line 1.

**Reference AW on Form PTO-1449:**

This paper shows anode properties and XRD patterns of Si-O-C compounds synthesized by pyrolyzing silicon containing polymers. These Si-O-C compounds have no XRD peaks related silicon crystal.

Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY DOCKET NO.  
243103US2SRDSERIAL NO.  
NEW APPLICATION

## LIST OF REFERENCES CITED BY APPLICANT

APPLICANT  
Tomokazu MORITA, et al.FILING DATE  
HEREWITH

GROUP

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6,383,686 B1	5/7/02	Tatsuo UMENO, et al.			
	AB	6,495,291 B1	12/17/02	Tatsuoki KOHNO, et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AO	2000-215887	8/4/00	Japan		x
	AP					
	AQ					
	AR					
	AS					
	AT					
	AU					
	AV					

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

	AW	Weibing XING, et al. "PYROLYZED POLYSILOXANES FOR USE AS ANODE MATERIALS IN LITHIUM-ION BATTERIES," J. Electrochem. Soc., Vol. 144, No. 7, July 1997, pg. 2410-2416.				
	AX					
	AY					
	AZ				<input type="checkbox"/> Additional References sheet(s) attached	

Examiner

Date Considered

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.